

Practitioner's Docket No. P-1262

CHAPTER II

IN THE UNITED STATES ELECTED OFFICE (EO/US)

PCT/EP 2004/00072 ✓ January 8, 2004 ✓ January 8, 2003 ✓
 INTERNATIONAL APPLICATION NO. INTERNATIONAL FILING DATE PRIORITY DATE CLAIMED
 COMPOSITION BASED ON PRE-EXFOLIATED NANOCCLAY AND USE THEREOF ✓
 TITLE OF INVENTION
 HEINZ-DIETER METZEMACHER AND RAINER SEELING ✓
 APPLICANT(S)

Mail Stop PCT
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

NOTE (FACSIMILE): While the basic national fee necessary to enter the national stage, as specified in 37 CFR 1.495(b), may NOT be submitted by facsimile subsequent correspondence may be transmitted by facsimile in an application before the U.S. Receiving Office, the U.S. International Searching Authority, or the U.S. International Examining Authority, but it will NOT receive the benefit of any certificate of transmission (or mailing). The PCT facsimile number is 703-305-3230. Notice of July 12, 2005 (1296 OG 76), "New Patents Central FAX Number and Updated Lists of Exceptions to the Centralized Delivery and Facsimile Transmission Policy for Patent Related Correspondence."

EXPRESS MAILING UNDER 37 C.F.R. § 1.10*

(Express Mail label number is mandatory.)
 (Express Mail certification is optional.)

I hereby certify that this paper, along with any document referred to, is being deposited with the United States Postal Service on this date January 12, 2006, in an envelope addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 as "Express Mail Post Office to Addressee" Mailing Label No. EQ 069676285 US

Holly Hart

(type or print name of person mailing paper)

Holly Hart

Signature of person certifying

WARNING: Certificate of mailing (first class) or facsimile transmission procedures of 37 C.F.R. 1.8 cannot be used to obtain a date of mailing or transmission for this correspondence.

***WARNING:** Each paper or fee filed by "Express Mail" must have the number of the "Express Mail" mailing label placed thereon prior to mailing. 37 C.F.R. 1.10(b).

"Since the filing of correspondence under § 1.10 without the Express Mail mailing label thereon is an oversight that can be avoided by the exercise of reasonable care, requests for waiver of this requirement will not be granted on petition." Notice of Oct. 24, 1996, 60 Fed. Reg. 56,439, at 56,442.

(Completion of Filing Requirements for International Application Entering U.S. Elected Office (EO/US)

[13-19]—page 1 of 8

(check and complete the applicable item, if applicable)

- NOTE:** Documents and fees must be clearly identified as a submission to enter the national stage under 35 U.S.C. § 371. Otherwise, the submission will be considered as being made under 35 U.S.C. § 111, 37 C.F.R. § 1.495(q).

(Completion of Filing Requirements for International Application Entering U.S. Elected Office (EO/US)
[13-19]—page 2 of 6)

Attached is a

- (a) ☐ Statement by a registered attorney that the application filed in the PTO is the application that the inventor executed by signing the declaration.
- (b) ☐ Statement that the "attached" specification is a copy of the specification and any amendments thereto that were filed in the PTO to obtain the filing date.
- (c) ☐ Statement that substitute specification contains no new matter.
- (d) ☐ Preliminary amendment
- (e) ☐ Transmittal of Formal Drawings Prior to Notice of Allowance
- (f) ☐ Submission of "Sequence Listing," computer readable copy, and/or amendment pertaining thereto for biotechnology invention containing nucleotide and/or amino acid sequence.

AMENDMENT

II.

(complete as applicable)

- ☐ An amendment in accordance with 37 C.F.R. § 1.121 is attached.
- ☐ The attached amendment cancels claims _____ inclusive.

TRANSMITTAL OF ENGLISH TRANSLATION OF NON-ENGLISH LANGUAGE PAPERS

- III. ☐ Submitted herewith is an English translation of the non-English language international application papers as originally filed. It is requested that this translation be used as the copy for examination purposes in the PTO. (See 37 C.F.R. § 1.495(c))

NOTE: For fee for processing a non-English application and submission of an English translation later than 30 months after the priority date, complete item IV(3).

NOTE: A non-English oath or declaration in the form provided or approved by the PTO need not be translated. 37 C.F.R. § 1.69(b).

FEES

IV.

1. Examination, Search and Additional Page Fee

WARNING: The USPTO is considering changing the amount of the search fee and examination fee charged in national stage in the near future. Please refer to www.uspto.gov for the current fees.

- ☐ Examination Fee
- ☐ Search Fee
- ☐ Additional Page Fee

NOTE: See 37 C.F.R. § 1.28(a).

2. Fees for claims

- ☐ each independent claim in excess of 3
(37 C.F.R. § 1.492(d))—\$200.00; small entity—\$100.00 \$ _____
- ☐ each claim in excess of 20
(37 C.F.R. § 1.492(e))—\$50.00; small entity—\$25.00 \$ _____
- ☐ multiple dependent claims(s)
(37 C.F.R. § 1.492(f))—\$360.00; small entity—\$180.00 \$ _____

3. Surcharge fees

- ☒ Surcharge for filing the oath or declaration later than thirty months from the priority date pursuant to § 1.495(c) and § 1.492(h): \$130.00; small entity—\$65.00 \$ 130.00

NOTE: The processing fee in the next item 3 below is not subject to a reduction for small entity status.

4.

- ☐ For filing an English translation of an international application later than thirty months after the priority date (§ 1.495(c)) and § 1.492(l): \$130.00

\$ _____

Total fees

\$ 130.00

SMALL ENTITY STATUS

- V. a. ☐ An assertion that this filing is by a small entity

NOTE: See 37 C.F.R. § 1.28(a).

(check and complete applicable items)

- ☐ Is attached.
☐ was filed on _____
☐ was made by paying the basic national fee as a small entity.
☐ Is being made now by paying the basic national fee as a small entity.
b. ☐ A separate refund request accompanies this paper.

EXTENSION OF TIME

(complete (a) or (b), as applicable)

- VI. The proceedings herein are for a patent application. Accordingly, the provisions of 37 C.F.R. § 1.136(a) apply.

- (a) ☐ Applicant petitions for an extension of time, the fees for which are set out in 37 C.F.R. § 1.17(a)(1)-(4), for the total number of months checked out below:

<input type="checkbox"/> one month	\$ 120.00	\$ 60.00
<input type="checkbox"/> two months	\$ 450.00	\$ 225.00
<input type="checkbox"/> three months	\$ 1,020.00	\$ 510.00
<input type="checkbox"/> four months	\$ 1,590.00	\$ 795.00

Fee: \$ _____

If an additional extension of time is required, please consider this a petition therefor.

(check and complete the next item, if applicable)

- ☐ An extension for _____ months has already been secured. The fee paid therefor of \$ _____ is deducted from the total fee due for the total months of extension now requested.

Extension fee due with this request \$ _____

or

- (b) ☒ Applicant believes that no extension of term is required. However, this conditional petition is being made to provide for the possibility that applicant has inadvertently overlooked the need for a petition and fee for extension of time.

01/18/2006 GFREY1 00000163 10541496

01 FC:1617

130.00 OP

TOTAL FEE DUE

- VII. The total fee due is:

Completion fee(s)

\$ 130.00

Extension fee (if any)

\$ _____

TOTAL FEE DUE \$ 130.00

PAYMENT OF FEES**VIII.**

- ☒ Attached is a ☒ check ☐ money order in the amount of \$ 130.00
- ☒ Authorization is hereby made to charge ~~the amount of \$~~
- ☒ to Deposit Account No. 03-3420
- ☐ to Credit card as shown on the attached credit card information authorization form PTO-2038.

WARNING: Credit card information should not be included on this form as it may become public.

- ☒ Charge any additional fees required by this paper or credit any overpayment in the manner authorized above.

AUTHORIZATION TO CHARGE ADDITIONAL FEES**IX.**

WARNING: Accurately count claims, especially multiple dependant claims, to avoid unexpected high charges if extra claims are authorized.

NOTE: "A written request may be submitted in an application that is an authorization to treat any concurrent or future reply, requiring a petition for an extension of time under this paragraph for its timely submission, as incorporating a petition for extension of time for the appropriate length of time. An authorization to charge all required fees, fees under § 1.17, or all required extension of time fees will be treated as a constructive petition for an extension of time in any concurrent or future reply requiring a petition for an extension of time under this paragraph for its timely submission. Submission of the fee set forth in § 1.17(a) will also be treated as a constructive petition for an extension of time in any concurrent reply requiring a petition for an extension of time under this paragraph for its timely submission." 37 C.F.R. § 1.136(a)(3).

NOTE: "Amounts of twenty-five dollars or less will not be returned unless specifically requested within a reasonable time, nor will the payer be notified of such amounts; amounts over twenty-five dollars may be returned by check or, if requested, by credit to a deposit account." 37 C.F.R. § 1.26(a).

NOTE: The previous practice of holding applications abandoned if an authorization to charge fees under 37 C.F.R. § 1.16 has been provided instead of an authorization to charge fees under 37 C.F.R. § 1.492 has been changed. The Office amended 37 C.F.R. § 1.25(b), effective November 7, 2000, so that an authorization to charge fees under 37 C.F.R. § 1.16 in an international application entering the national stage under 35 U.S.C. § 371 is now accepted by the Office as an authorization to charge fees under 37 C.F.R. § 1.492.

- ☒ Please charge, in the manner authorized above, the following additional fees that may be required by this paper and during the entire pendency of this application:
- ☒ basic fee
 - ☒ presentation of extra claims
 - ☒ search fee
 - ☒ examination fee

NOTE: Because additional fees for excess or multiple dependent claims not paid on filing or on later presentation must only be paid or these claims cancelled by amendment prior to the expiration of the time period set for response by the PTO in any notice of fee deficiency (37 C.F.R. § 1.16(d)), it might be best not to authorize the PTO to charge additional claim fees, except possibly when dealing with amendments after final action.

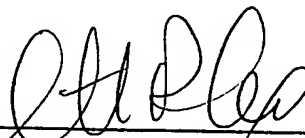
- ☐ 37 C.F.R. § 1.17 (application processing fees)
- ☐ 37 C.F.R. § 1.17(a)(1)-(5) (extension fees pursuant to § 1.136(a).
- ☐ 37 C.F.R. § 1.16(s) (additional fee for specification and drawings filed in paper over 100 sheets)
- ☐ 37 C.F.R. § 1.18 (issue fee at or before mailing of Notice of Allowance, pursuant to 37 C.F.R. § 1.311(b).

NOTE: Section 1.311(b) provides that an authorization to charge the issue fee (§ 1.18) to a deposit account may be filed in an individual application **only after the mailing of the notice of allowance**. Accordingly, general authorizations to pay fees and specific authorizations to pay the issue fee that are filed prior to the mailing of a notice of allowance will generally not be treated as requesting payment of the issue fee and will not be given effect to act as a reply to the notice of allowance. Applicant, when paying the issue fee, should submit a new authorization to charge fees, such as by completing box 6b on the current PTOL-85B form. Where no reply to the notice of allowance is received, the application will stand abandoned notwithstanding the presence of general authorizations to pay fees or a specific authorization to pay the issue fee that were submitted prior to mailing of the notice of allowance. Where an attempt is made to pay the issue fee but an incorrect amount is submitted, § 1.311(b)(1), or where the Office's issue fee transmittal form (currently PTOL-85(B)) is completed by applicant and submitted, § 1.311(b)(2), in reply to a notice of allowance, an exception will be made. Such submissions will operate as a request to charge the issue fee to any deposit account identified in a previously filed (i.e., submitted prior to the mailing of the notice of allowance) authorization to charge fees, and will be allowed to act as payment of the correct issue fee. § 1.311(b). See also the change to § 1.26(b). Notice of September 8, 2000, Fed. Reg. 54603-54683, at 54646 and 54647.

NOTE: 37 C.F.R. § 1.28(b) requires "Notification of any change in loss of entitlement to small entity status must be filed in the application . . . prior to paying, or at the time of paying . . . issue fee." From the wording of 37 C.F.R. § 1.28(b): (a) notification of change of status must be made even if the fee is paid as "other than a small entity" and (b) no notification is required if the change is to another small entity.

- ☐ 37 C.F.R. § 1.492(e) and/or (f) surcharge fees for filing the declaration and/or an English translation of an international application later than 30 months from the earliest-claimed priority date.

WARNING: It would be wise to always check this last authorization.



SIGNATURE OF PRACTITIONER

Scott R. Cox

(type or print name of practitioner)

500 W. Jefferson St., Ste. 2100

P.O. Address

Louisville, Kentucky 40202

Reg. No.: 31,945

Tel. No.: (502) 589-4215

Customer No.:



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address: COMMISSIONER FOR PATENTS
P.O. Box 1450
Alexandria, Virginia 22313-1450
www.uspto.gov

U.S. APPLICATION NUMBER NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.	
10/541,496	Heinz-Dieter Metzemacher	P-1262	
		INTERNATIONAL APPLICATION NO.	
		PCT/EP04/00072	
		I.A. FILING DATE	PRIORITY DATE
		01/08/2004	01/08/2003

Scott R. Cox
500 W. Jefferson St., Suite 2100
Louisville, KY 40202

CONFIRMATION NO. 2016

371 FORMALITIES LETTER



OC000000017806048

Date Mailed: 01/09/2006 (VHH)

NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated / Elected Office (37 CFR 1.495).

- Copy of the International Application filed on 07/06/2005
- Copy of the International Search Report filed on 07/06/2005
- Copy of IPE Report filed on 07/06/2005
- Preliminary Amendments filed on 07/06/2005
- Information Disclosure Statements filed on 08/15/2005
- Request for Immediate Examination filed on 07/06/2005
- U.S. Basic National Fees filed on 07/06/2005
- Priority Documents filed on 07/06/2005

The applicant needs to satisfy supplemental fees problems indicated below.

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.
- To avoid abandonment, a surcharge (for late submission of filing fee, search fee, examination fee or oath or declaration) as set forth in 37 CFR 1.492(h) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.

SUMMARY OF FEES DUE:

Total additional fees required for this application is **\$130** for a Large Entity:

- \$130 Surcharge.

ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 32 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice **MUST** be returned with the response.*

PATRICIA A BOOKER

Telephone: (703) 308-9140 EXT 204

PART 1 - ATTORNEY/APPLICANT COPY

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY.-DOCKET NO.
10/541,496	PCT/EP04/00072	P-1262

FORM PCT/DO/EO/905 (371 Formalities Notice)